

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Lam Research CorporationApplication No./Patent No.: 6,160,621 Filed/Issue Date: December 12, 2000Entitled: Method and Apparatus for In-Situ Monitoring of Plasma Etch and Deposition Processes Using a Pulsed Broadband Light SourceLam Research Corporation

(Name of Assignee)

Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 010465 __, Frame 0551 __, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

June 17, 2003

Date

(510) 572-5452

Telephone number

Jeffrey J. Brooks

Typed or printed name

Signature

Assistant Secretary and Director of Intellectual Property

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT**

| | |
|------------------------|-------------------|
| Application Number | |
| Filing Date | |
| First Named Inventor | Andrew Perry |
| Title | See 1 in Addendum |
| Art Unit | |
| Examiner Name | |
| Attorney Docket Number | 019194 00001 |

I hereby appoint:

☐ Practitioners at Customer Number

OR

☒ Practitioner(s) named below:

| Name | Registration Number |
|--------------------|---------------------|
| Martin Korn | 28,317 |
| L. Dan Tucker | 22,670 |
| William D. Jackson | 20,846 |
| Monty R. Ross | 28,899 |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.
(Continued on Attachment)

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

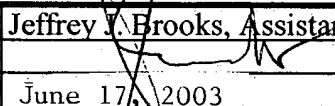
☐ Practitioners at Customer Number.

OR

| | | | | | |
|---|---------------------------|-------|--------------|-----|-------|
| <input checked="" type="checkbox"/> Firm or Individual Name | Martin Korn | | | | |
| Address | 2200 Ross Ave., Ste. 2200 | | | | |
| Address | | | | | |
| City | Dallas | State | TX | Zip | 75201 |
| Country | | | | | |
| Telephone | 214-740 8000 | Fax | 214-740 8800 | | |

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).**SIGNATURE of Applicant or Assignee of Record**

| | | | |
|-----------|---|-----------|--------------|
| Name | Jeffrey T. Brooks, Assistant Secretary and Director of Intellectual Property | | |
| Signature |  | | |
| Date | June 17, 2003 | Telephone | 510-572-5452 |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commission of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Application Number:
Filing Date:
First Named Inventor: Andrew Perry
Group Art Unit:
Examiner Name:
Attorney Docket Number: 019194 00001

**POWER OF ATTORNEY OR AUTHORIZATION OF AGENT (PTO/SB/81)
NOT ACCOMPANYING APPLICATION**

| Name | Registration Number |
|-------------------|----------------------------|
| Roy W. Hardin | 28,304 |
| Charles E. Phipps | 40,127 |
| Michael W. Dubner | 47,310 |
| Mark R. Backofen | 51,423 |
| Kristen R. Paris | 52,092 |
| Scott C. Sample | 52,189 |

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| | | |
|---|--|---|
| REISSUE APPLICATION DECLARATION BY THE ASSIGNEE | | Docket Number (optional) 019194 00001 |
| <p>I hereby declare that:</p> <p>The residence, mailing address and citizenship of the inventors are stated below.</p> <p>I am authorized to act on behalf of the following assignee: <u>Lam Research Corporation</u></p> <p>and the title of my position with said assignee is: <u>Assistant Secretary and Director of Intellectual Property</u></p> <p>The entire title to the patent identified below is vested in said assignee.</p> | | |
| Inventor Andrew Perry | | Citizenship Australia |
| Residence/Mailing Address 2536 Parkside Drive Fremont, CA 94536 | | |
| Inventor Randall Mundt | | Citizenship USA |
| Residence/Mailing Address 4820 Wingate Drive Pleasanton, CA 94566-5525 | | |
| <input type="checkbox"/> Additional Inventors are named on separately numbered sheets attached hereto. | | |
| Patent Number 6,160,621 | | Date of Patent Issued December 20, 2000 |
| Title of Invention Method and Apparatus for In-Situ Monitoring of Plasma Etch and Deposition Processes Using a Pulsed Broadband Light Source | | |
| <p>I believe said inventor(s) to be the original and first inventor(s) of the subject matter which is described and claimed in said patent, for which a reissue patent is sought on the invention entitled:</p> <p><u>Method and Apparatus for In-Situ Monitoring of Plasma Etch and Deposition Processes Using a Pulsed Broadband Light Source</u></p> <p>the specification of which</p> <p><input checked="" type="checkbox"/> is attached hereto.</p> <p><input type="checkbox"/> was filed on _____ as reissue application number ____ / _____ and was amended on _____ (If applicable)</p> <p>I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.</p> <p>I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.</p> <p>I verily believe the original patent to be wholly or partly inoperative or invalid, for the reasons described below. (Check all boxes that apply.)</p> <p><input type="checkbox"/> by reason of a defective specification or drawing.</p> <p><input checked="" type="checkbox"/> by reason of the patentee claiming more or less than he had the right to claim in the patent.</p> <p><input type="checkbox"/> by reason of other errors.</p> | | |

[Page 1 of 2]

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REISSUE APPLICATION DECLARATION BY THE ASSIGNEEDocket Number (Optional)
019194 00001

At least one error upon which reissue is based is described as follows:
 Patentee claiming more than right to claim in view of U.S. Patent No. 6,111,634

[Attach additional sheets, if needed.]

All errors corrected in this reissue application arose without any deceptive intention on the part of the applicant.

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith.

| Name(s) | Registration Number |
|--------------------|---------------------|
| Martin Korn | 28,317 |
| L. Dan Tucker | 22,670 |
| William D. Jackson | 20,846 |
| Monty R. Ross | 28,899 |

Correspondence Address: Direct all communications about the application to: (Continued on Attachment)

☐ Customer Number

Place Customer
Number Bar Code
Label Here

OR

Type Customer Number Here

☒ Firm or
Individual
Name

Martin Korn

Address 2200 Ross Ave., Ste. 2200

Address

City

Dallas

State

TX

Zip

75201

Country

Telephone

214-740 8000

Fax

214-740 8800

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this declaration is directed.

Full name of person signing (given name, family name)

Jeffrey N. Brooks

Signature

Date

June 17, 2003

Address of Assignee

4650 Cushing Parkway, CA-1, Fremont, CA 94538

Name of Patentee(s): Andrew Perry, et al.

Patent Number: 6,160,621

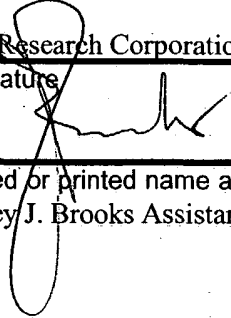
Date of Patent Issued: December 20, 2000

Title of Invention: See 1 in Addendum

Name of Assignee: Lam Research Corporation

**Reissue Application Declaration by the Assignee (PTO/SB/52)
Registered Practitioner Information—Supplemental Sheet**

| Name | Registration Number | Name | Registration Number |
|-------------------|--------------------------------|-------------|--------------------------------|
| Roy W. Hardin | 28,304 | | |
| Charles E. Phipps | 40,127 | | |
| Michael W. Dubner | 47,310 | | |
| Mark R. Backofen | 51,423 | | |
| Kristen R. Paris | 52,092 | | |
| Scott C. Sample | 52,189 | | |

| | | |
|--|---|--|
| REISSUE APPLICATION: CONSENT OF ASSIGNEE; STATEMENT OF NON-ASSIGNMENT | | Docket Number (Optional) 019194 00001 |
| This is part of the application for a reissue patent based on the original patent identified below. | | |
| Name of Patentee(s) Andrew Perry, Randall Mundt | | |
| Patent Number 6,160,621 | Date Patent Issued December 12, 2000 | |
| Title of Invention Method and Apparatus for In-Situ Monitoring of Plasma Etch and Deposition Processes Using a Pulsed Broadband Light Source | | |
| <p>1. <input checked="" type="checkbox"/> Filed herein is a statement under 37 CFR 3.73(b). (Form PTO/SB/96)</p> <p>2. <input type="checkbox"/> Ownership of the patent is in the inventor(s), and no assignment of the patent is in effect.</p> <p>One of boxes 1 or 2 above must be checked. If multiple assignees, complete this form for each assignee. If box 2 is checked, skip the next entry and go directly to "Name of Assignee".</p> <p>The written consent of all assignees and inventors owning an undivided interest in the original patent is included in this application for reissue.</p> | | |
| The assignee(s) owning an undivided interest in said original patent is/are <u>Lam Research Corporation</u> and the assignee(s) consents to the accompanying application for reissue. | | |
| Name of assignee/inventor (if not assigned) Lam Research Corporation | | |
| Signature  | Date June 17, 2003 | |
| Typed or printed name and title of person signing for assignee (if assigned) Jeffrey J. Brooks Assistant Secretary & Director of Intellectual Property | | |

This collection of information is required by 37 CFR 1.172. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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